

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
UTILITY PATENT APPLICATION TRANSMITTAL LETTER

Attorney Docket No. S004-4575 (DIV)

Mailing Date: JANUARY 16, 2004

Express Mail No. ER 092 777 703 US

MS PATENT APPLICATION
COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is a
Nonprovisional Utility Patent:

 New Application; or a Continuation, X Division,
 Continuation-in-Part (CIP) Application of prior US
application No. 09/997,819 filed on November 30, 2001; of

Inventors: (1) Manabu OUMI
(2) Susumu ICHIHARA
(3) Takashi NIWA
(4) Kenji KATO
(5) Yoko SHINOHARA
(6) Hidetaka MAEDA
(7) Nobuyuki KASAMA
(8) Yasuyuki MITSUOKA

For(Title): APPARATUS FOR FORMING OPTICAL APERTURE

This transmittal letter has 3 pages.

Enclosed are:

- X Enclosed are 27 sheets of drawings, along with 55 pages
of specification, claims and abstract.
- X Oath or Declaration Combined with Power of Attorney (3 pages)
 Newly Executed (original or copy)
 X Copy from a prior application (if this is a
Continuation/Division with no new matter)
 Signed statement deleting named inventor(s) in prior
application if this is a Continuation/Division (See 37 CFR
1.63(d) and 1.33(b)).
- A certified copy of a (non-US) application
No. , having a filing date of .

16711 U.S. PTO
011604

22141 U.S. PTO
10/759332

011604

☐ An Assignment Transmittal Letter and Assignment of the invention.

☐ A verified statement to establish small entity status under
35 CFR 1.9 and 1.27
☐ is enclosed

☐ was filed in prior application and such status is
still proper and desired (37 CFR 1.28(a)).

☐ An information Disclosure Statement, with Form PTO-1449.

☒ PRELIMINARY AMENDMENT CANCELING CLAIMS TO REDUCE FILING FEE

☒ SECOND PRELIMINARY AMENDMENT

☒ Return Receipt Postcard.

Instructions:

☒ Incorporation by Reference (for Continuation/Division
application). The entire disclosure of the prior application,
from which a copy of the oath or declaration is supplied, is
considered as being part of the disclosure of the accompanying
application and is hereby incorporated by reference therein.

☒ Priority of Application Nos. 2000-367561 filed December 1, 2000,
2000-367563 filed December 1, 2000, 2000-370186 filed December 5,
2000, 2000-373308 filed December 7, 2000, 2000-379264 filed
December 13, 2000, and 2000-379265 filed December 13, 2000 in
Japan is claimed under 35 U.S.C. §119. The certified copies

☐ have not been filed.

☐ is enclosed.

☒ were filed in parent application Serial No. 09/997,819

☒ The prior application is assigned of record to
SEIKO INSTRUMENTS INC.

☒ The filing fee is calculated as follows:

CLAIMS AS FILED, LESS ANY CANCELED BY AMENDMENT

	Number	Number	Fee for	Fee for other
	Filed	Extra	Small Entity	than Small
Fee			Fee	Entity
				Fee
Basic fee	3	0	\$	\$770.00

Independent
Claims

1

0

\$

Total

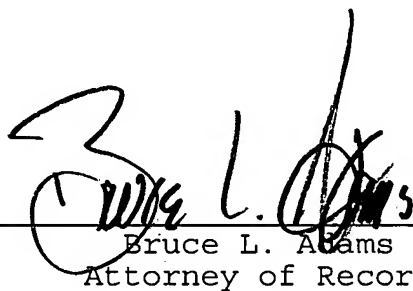
\$

Total \$770.00

X Check in the amount of \$770.00 for the filing fee as calculated above is enclosed.

X The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 01-0268. A duplicate copy of this sheet is enclosed.

JANUARY 16, 2004


Bruce L. Adams
Attorney of Record

Please forward all correspondences to:

Bruce L. Adams
Adams & Wilks
50 Broadway, 31st Floor
New York, NY 10004
(212) 809-3700



Re: New patent application of Manabu OUMI et al.
for APPARATUS FOR FORMING OPTICAL APERTURE

comprising transmittal letter, title, specification, claims and abstract (55 pgs.), declaration and power of attorney, 27 sheets of formal drawings containing thereon Figs. 1-29, preliminary amendment canceling claims to reduce filing fee, second preliminary amendment, express mail certification and checks in the amount \$72.00 and \$770.00

Attorney's Docket No: S004-4475 (DIV)

EXPRESS MAIL CERTIFICATION UNDER 37 CFR §1.10

Express Mail Tracking Number: ER 092 777 703 US

Date of Mailing: JANUARY 16, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to MS PATENT APPLICATION, COMMISSIONER FOR PATENTS, BOX 1450, ALEXANDRIA, VA, 22313-1450.

FRANCO S. DE LIGUORI